

MONTH END ACTIVITY REPORT

Bureau of Securities November 2009

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	143	284	427
Oversales	2	1	3
Renewal Filings	550	1218	1768
New Notice Filings	157	117	274
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	8	0	8
Applications Withdrawn/Abandoned	1	0	1
Applications Denied	0	0	0
Terminations	18	1	19
Gain/Loss Broker-Dealers	-10	-1	-11
Total BD's Registered as of November 30, 2009	1420	29	1449
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1641	0	1641
Denied	0	0	0
Terminations	1361	3	1364
Gain/Loss Agents	280	-3	277
Total BD Agents Registered as of November 30, 2009	72390	53	72443

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	2	7	9
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Denied	0	0	0
Gain/Loss effective registrations	1	3	4
Total IA's Registered as of November 30, 2009	68	1032	1100
Investment Adviser Representatives			
Activity	State	Federal	Total
New	3	79	82
Denied	0	0	0
Terminated	2	60	62
Gain/Loss effective registrations	1	16	17
Total IAR's Registered as of November 30, 2009	175	3051	3226

Exemptions			
Exemption Type	Number		
8-1108.02(2)	25		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	7		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of November 30, 2009	32		